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KIRKPATRICK & LOCKHART LLP
535 SMITHFIELD STREET
PITTSBURGH, PA 15222

EXAMINER	
TRINH, MICHAEL MANH	
ART UNIT	PAPER NUMBER
2822	

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Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary	Application No. 09/770,699	Applicant(s) GEALY ET AL.	
	Examiner Michael Trinh	Art Unit 2822	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1)☒ Responsive to communication(s) filed on *31 March 2003* .

2a)☐ This action is **FINAL**. 2b)☒ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☒ Claim(s) *38-80* is/are pending in the application.

4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) *38-80* is/are rejected.

7)☐ Claim(s) _____ is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9)☐ The specification is objected to by the Examiner.

10)☐ The drawing(s) filed on _____ is/are: a)☐ accepted or b)☐ objected to by the Examiner.

Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

11)☐ The proposed drawing correction filed on _____ is: a)☐ approved b)☐ disapproved by the Examiner.

If approved, corrected drawings are required in reply to this Office action.

12)☐ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. §§ 119 and 120

13)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

a)☐ All b)☐ Some * c)☐ None of:

1.☐ Certified copies of the priority documents have been received.

2.☐ Certified copies of the priority documents have been received in Application No. _____ .

3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

14)☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).

a) ☐ The translation of the foreign language provisional application has been received.

15)☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

Attachment(s)

1) ☒ Notice of References Cited (PTO-892)
2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3) ☒ Information Disclosure Statement(s) (PTO-1449) Paper No(s) *14* .
4) ☐ Interview Summary (PTO-413) Paper No(s). _____ .
5) ☐ Notice of Informal Patent Application (PTO-152)
6) ☐ Other: .

DETAILED ACTION

*** This office action is in response to Applicant's RCE and Amendment filed on March 31, 2003. Claims 38-80 are currently pending.

*** The text of those sections of Title 35, U.S. Code not included in this action can be found in a prior Office action.

Election/Restrictions

*** After reconsideration of applicant's IDS, amendment and remarks, restriction requirement is hereby withdrawn at this time. All claims 38-80 are considered and examined for patentability. In view of the withdrawal of the restriction requirement, applicant(s) are advised any claim(s) in a continuation or divisional application may be subject to provisional statutory and/or nonstatutory double patenting rejections over the claims of the instant application. Once the restriction requirement is withdrawn, the provisions of 35 U.S.C. 121 are no longer applicable. See *In re Ziegler*, 44 F.2d 1211, 1215, 170 USPQ 129, 131-32 (CCPA 1971). See also MPEP § 804.01.

Claim Rejections - 35 USC § 102/103

1. Claims 38-39,42-43,45-50,61-63,67-68,69-71,76-78,80 are rejected under 35 U.S.C. 102(e) as being anticipated by Agarwal et al (6,165,834).

Agarwal et al teach a method for forming a capacitor comprising at least the steps of: forming a first electrode (38 in Fig 5; col 5, lines 14-30; 24 in Fig 2; col 3, lines 42-45) selected from a group consisting of a conductive metal oxide; forming a dielectric (40 in Fig 5, col 5, lines 14-30; 26 in Fig 2; col 3, lines 55-65) on the first electrode, wherein the first electrode 38 extends above an uppermost surface of a substrate assembly including a layer 48 and an interconnect recessed in the substrate assembly, or wherein the first electrode 24 extends above an uppermost surface of the substrate assembly including the layer 16 and interconnect 20 (Fig 4); and forming a second electrode having a strap (42 in Fig 5; 30,38 in Fig 2; col 4, line 62 through col 5, line 7) on the dielectric and the uppermost surface of the substrate assembly, wherein the dielectric is formed between the first and second electrodes, wherein the metal oxide including CVD Ruthenium dioxide, RuO_2, wherein $x = 2$, wherein the second capacitor electrode including Platinum, TiN, Ru, WN, polysilicon, wherein the dielectric 40,26 includes

barium strontium titanate (BST), $SrTiO_3$, (Ba, $Sr_)TiO_3$, Ta_2O_5 (col 3, lines 55-65), wherein a second substrate layer 44 is formed on the second electrode 42 having a strap. Re claims 78,80, wherein a bus 47 connected to both first and second memory devices including a capacitor.

Claim rejections - 35 USC § 103

2. Claims 38-39,42-43,45-50,61-63,67-68,69-71,76-78,80 are rejected under 35 U.S.C. 103(a) as being unpatentable over Agarwal et al (6,165,834) taken with Prall et al (5,866,453).

Agarwal et al teach a method for forming a capacitor comprising at least the steps of: forming a first electrode (38 in Fig 5; col 5, lines 14-30; 24 in Fig 2; col 3, lines 42-45) selected from a group consisting of a conductive metal oxide; forming a dielectric (40 in Fig 5, col 5, lines 14-30; 26 in Fig 2; col 3, lines 55-65) on the first electrode, wherein the first electrode extends above an uppermost surface of a substrate assembly; and forming a second electrode having a strap (42 in Fig 5; 30,38 in Fig 2; col 4, line 62 through col 5, line 7) on the dielectric and the uppermost surface of the substrate assembly including a layer 48, an interlayer insulating layer having bit contact 46, and an interconnect recessed in the substrate assembly, wherein the dielectric is formed between the first and second electrodes, wherein the metal oxide including CVD Ruthenium dioxide, RuO_2, wherein x = 2, wherein the second capacitor electrode including Platinum, TiN, Ru, WN, polysilicon, wherein the dielectric 40,26 includes barium strontium titanate (BST), $SrTiO_3$, (Ba, $Sr_)TiO_3$, Ta_2O_5 (col 3, lines 55-65), wherein a second substrate layer 44 is formed on the second electrode 42 having a strap. Re claims 78,80, wherein a bus 47 connected to both first and second memory devices including a capacitor.

In Agarwal, the first electrode 38 is not extended above the substrate assembly including the interlayer insulating layer having the bit contact 46 (Fig 5).

However, Prall teaches two alternative embodiments, wherein as shown in Figure 7, a first electrode 42 extends above the substrate assembly including the interlayer insulating film 36, and wherein in a second embodiment, as shown in figure 17, the first electrode 42 is not extends above the substrate assembly including the interlayer insulating layer 45.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to form the capacitor of Agarwal by alternatively forming the first electrode

extends above the substrate assembly as taught by Prall. This is because of the desirability to form another capacitor structure, wherein capacitance is increased by removing the container insulating walls from outer periphery of the storage nodes.

3. Claims 40,41-43,45,48 are rejected under 35 U.S.C. 103(a) as being unpatentable over either Agarwal et al (6,165,834) or Agarwal et al (6,165,834) and Prall et al (5,866,453), further of taken with Fukuzumi et al (6,222,722).

Agarwal et al or Agarwal/Prall teach a method for forming a capacitor as applied above to claims 38-39,42-43,45-50,61-63,67-68,69-71,76-78, and 80, and fully repeated herein.

Agarwal or Agarwal/Prall disclose many alternative materials for forming the electrodes or dielectric, but does not list all materials as recited in claims 40,41-43,45,48.

However, Fukuzumi et al teaches a method for forming a capacitor as applied above to claims 38-43,45-49,52-57, wherein the first electrode 13,52 of metal including ruthenium, platinum, Ir, Rh and its metal oxide including RuO_2, wherein x = 2 (col 14, line 66 through col 15, line 10; col 9, lines 49-67; col 16, line 62 through col 7; col 20, lines 10-25), wherein the second electrode 15,54 including ruthenium, platinum, wherein material for forming the electrode including ruthenium, platinum, oxide thereof, or W, WN, Al, Ti, TaN (col 17, lines 12-18), wherein the dielectric 14,53 includes barium strontium titanate (BST), Ta_2O_5, $SrTiO_3$, $BaSrTiO_3$ (col; 17, lines 3-10).

Thus, it would have been obvious to one of ordinary skill in the art at the time the invention was made to form the electrodes or the dielectric of Agarwal by using other alternative materials as well known in the semiconductor art and as combinatively taught by Fukuzumi and Agarwal, because substitution of art recognized equivalent materials would have been obvious and within the level of ordinary skill in the semiconductor art. Re further claim 40, it would have been obvious to one of ordinary skill in the art at the time the invention was made to form the capacitor electrode of Agarwal in the opening by planarization after CVD forming the first electrode as taught by Fukuzumi (Fig 4; col 7, lines 40-59) because of the desirability to isolate a plurality of lower electrodes one from each other, and to form stacked container capacitor having high capacitance.

4. Claims 72-75 are rejected under 35 U.S.C. 103(a) as being unpatentable over either Agarwal et al (6,165,834) or Agarwal et al (6,165,834) and Prall et al (5,866,453), further of taken with Fukuzumi et al (6,222,722), as applied above, and further of Kim et al (6,090,704).

Agarwal et al or Agarwal/Prall teach a method for forming a capacitor as applied above to claims 38-39,42-43,45-50,61-63,67-68,69-71,76-78, and 80, and fully repeated herein.

Agarwal et al or Agarwal/Prall lacks forming a contact or interconnect in the second substrate layer to the second electrode.

However, Kim teaches (at figs 3D-3F) forming a second substrate layer on the second electrode having strap, and forming a contact or interconnect 124 in an opening of the second substrate layer 118 for electrical connection.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to form the capacitor of Agarwal et al or Agarwal/Prall by forming a contact or interconnect in the second substrate layer to connect the second electrode as taught by Kim. This is because of the desirability to provide electrical connection for the capacitor to external source.

5. Claims 38-71,76-80 are rejected under 35 U.S.C. 103(a) as being unpatentable over Fukuzumi et al (6,222,722) taken with Agarwal et al (6,165,834).

Fukuzumi et al teaches a method for forming a capacitor comprising at least the steps of: forming on a substrate assembly a layer of hemispherical grain polysilicon (12 in Fig 11; col 9, line 45 through col 10; 51 in Figs 30-34; col 14, line 45 through col 15); forming a planarization first electrode of a CVD metal (13 in Fig 12; col 7, lines 40-60; or 52 in Figs 30-34) on the polysilicon selected from a group consisting of transition metal or a conductive metal oxide; forming a dielectric 14,53 on the first electrode, wherein the first electrode extends above an uppermost surface of a substrate assembly including the insulating layer 2 and an interconnect 3 recessed in the assembly (Figs 6,24,26); and forming a second electrode having strap (15 in Fig 13; 54 in Fig 33) on the dielectric, wherein the dielectric is formed between the first and second electrodes, wherein the first electrode 13,52 of metal including ruthenium, platinum, Ir, Rh and its metal oxide including RuO_2, wherein x = 2 (col 14, line 66 through col 15, line 10; col 9, lines 49-67; col 16, line 62 through col 7; col 20, lines 10-25), wherein the second electrode

15,54 including ruthenium, platinum, wherein material for forming the electrode including ruthenium, platinum, oxide thereof, or W, WN, Al, Ti, TaN (col 17, lines 12-18), wherein the dielectric 14,53 includes barium strontium titanate (BSTO), Ta_2O_5, $SrTiO_3$, $BaSrTiO_3$ (col; 17, lines 3-10), wherein removing the hemispherical grain polysilicon 23,4 is shown in Figs 22-23, 4-5, wherein the substrate assembly comprising an interconnect 3 recessed in the substrate (Figs 1-5,21-24,33,38), wherein the substrate assembly comprising a contact (Figs 21-24,333,38), wherein the first electrode formed in the contact and the interconnect recessed in the substrate, wherein a second substrate layer 41 is formed on the second electrode 27 having a strap (Fig 27). Re claims 78,80, wherein a bus 36 connected to both first and second memory devices including a capacitor.

Fukuzumi already teaches to form the dielectric 8 on the first electrode 7 and on the uppermost surface of the substrate assembly 2, but lacks to form the second electrode 9 on the substrate assembly.

However, Agarwal teaches in a first embodiment at Figures 3-4 to form a first planar capacitor having the second electrode 30/28 formed on the dielectric 26 formed on the first electrode 24 and the uppermost surface of the substrate assembly 16. Agarwal then teaches in a second embodiment at Figure 5 to form a second capacitor in trench by forming the dielectric 40 on the first electrode 38 and an uppermost surface of the substrate assembly, and forming the second electrode 42 on the dielectric 40 and the uppermost surface of the substrate assembly.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to have modified the capacitor of Fukuzumi by forming the second electrode 9 on the dielectric and on the uppermost surface of the substrate assembly as shown by Agarwal because of the desirability to form a trench capacitor having a planar electrode structure and to eliminate the step formed by patterning the second electrode and dielectric.

Re further claims 41-43,45,58, Fukuzumi teaches many alternative materials for forming the electrodes or dielectric, but does not list all materials. Indeed, Fukuzumi et al teaches a method for forming a capacitor as applied above to claims 38-43,45-49,52-57, wherein the first electrode 13,52 of metal including ruthenium, platinum, Ir, Rh and its metal oxide including RuO_2, wherein x = 2 (col 14, line 66 through col 15, line 10; col 9, lines 49-67; col 16, line 62 through col 7; col 20, lines 10-25), wherein the second electrode 15,54 including ruthenium,

platinum, wherein material for forming the electrode including ruthenium, platinum, oxide thereof, or W, WN, Al, Ti, TaN (col 17, lines 12-18), wherein the dielectric 14,53 includes barium strontium titanate (BST), Ta_2O_5, $SrTiO_3$, $BaSrTiO_3$ (col; 17, lines 3-10). However, Agarwal also teaches to form the dielectric between the first and second electrodes, wherein the metal oxide including CVD Ruthenium dioxide, RuO_2, wherein x = 2, wherein the second capacitor electrode including Platinum, TiN, Ru, WN, IrO, RuO, Pt, Ir, polysilicon (col 3, lines 42-45; col 5, lines 1-7), wherein the dielectric 40,26 includes barium strontium titanate (BST), $SrTiO_3$, (Ba, Sr)TiO_3 , Ta_2O_5 (col 3, lines 55-65).

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to form the electrodes or the dielectric of Fukuzumi by using other alternative materials as well known in the semiconductor art and as combinatively taught by Fukuzumi and Agarwal, because substitution of art recognized equivalent materials would have been obvious and within the level of ordinary skill in the semiconductor art. Re claim 40, wherein planarization after CVD forming the first electrode is taught by Fukuzumi (at Fig 4; col 7, lines 40-59) because of the desirability to isolate a plurality of lower electrodes one from each other, and to form stacked container capacitor having high capacitance. Interconnecting the first and second devices having capacitor using a bus as well known in the art would have been obvious to one of ordinary skill in the art because of the desirability to form a microprocessor or computer having a plurality of memory cells.

6. Claims 72-75 are rejected under 35 U.S.C. 103(a) as being unpatentable over Fukuzumi et al (6,222,722) taken with Agarwal et al (6,165,834), as applied above to claims 38-71,76-80, and further of Kim et al (6,090,704).

The references including Fukuzumi et al teaches a method for forming a capacitor as applied above.

Fukuzumi lacks forming a contact or interconnect in the second substrate layer to the second electrode.

However, Kim teaches (at figs 3D-3F) forming a second substrate layer on the second electrode having strap, and forming a contact or interconnect 124 in an opening of the second substrate layer 118 for electrical connection.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to form the capacitor of Fukuzumi by forming a contact or interconnect in the second substrate layer to connect the second electrode as taught by Kim. This is because of the desirability to provide electrical connection for the capacitor to external source.

7. Claims 38-43,45-49 are rejected under 35 U.S.C. 103(a) as being unpatentable over Fazan (5,478,772) taken with Agarwal (6,165,834), and further of Fukuzumi (6,22,722).

Fazan teaches a method for forming a capacitor comprising at least the steps of: forming a first electrode 85 (Fig 11A,9B; col 4, line 60 through col 5, line 7) selected from a group consisting of transition metal or a conductive metal oxide; forming a dielectric 90 (col 5, lines 27-44) on the first electrode; and forming a second electrode 95 (col 5, lines 20-26) on the dielectric, wherein the dielectric is formed between the first and second electrodes (Fig 11A; col 5, line), wherein the metal includes platinum formed by CVD, wherein the metal oxide includes RuO_2, wherein x = 2, wherein the second electrode includes CVD of Platinum, TiN, wherein the dielectric includes barium strontium titanate (BST), $SrTiO_3$, $Ba_xSr_{1-x}TiO_3$.

Fazan teaches to form the second electrode 95 on the dielectric 90 formed on the first electrode 85 and on the uppermost surface of the substrate assembly 40, but lacks to form the second electrode 95 on the substrate assembly.

However, Agarwal teaches in a first embodiment at Figs 3-4 a first planar capacitor having the second electrode 30/28 formed on the dielectric 26 formed on the first electrode 24 and the uppermost surface of the substrate assembly 16. Agarwal then teaches in a second embodiment at Fig 5 a second capacitor by forming the dielectric 40 on the first electrode 38 and an uppermost surface of the substrate assembly, and forming the second electrode 42 on the dielectric 40 and extending on the uppermost surface of the substrate assembly.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to have modified the capacitor of Fazan by forming the second electrode 95 on the dielectric and on the uppermost surface of the substrate assembly as shown by Agarwal because of the desirability to form a trench capacitor having a planar electrode structure and to eliminate the step formed by patterning the second electrode and dielectric.

Re further claims 40,41-43,45,48, Fukuzumi et al teaches a capacitor, wherein the first electrode 13,52 of metal including ruthenium, platinum, Ir, Rh and its metal oxide including RuO_2, wherein x = 2 (col 14, line 66 through col 15, line 10; col 9, lines 49-67; col 16, line 62 through col 7; col 20, lines 10-25), wherein the second electrode 15,54 including ruthenium, platinum, wherein material for forming the electrode including ruthenium, platinum, oxide thereof, or W, WN, Al, Ti, TaN (col 17, lines 12-18), wherein the dielectric 14,53 includes barium strontium titanate (BSTO), Ta_2O_5, $SrTiO_3$, $BaSrTiO_3$ (col; 17, lines 3-10).

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to form the electrode or the dielectric of Fazan by using other alternative materials as well known in the semiconductor art and as combinatively taught by Fukuzumi and Fazan, because substitution of art recognized equivalent materials would have been obvious and within the level of ordinary skill in the semiconductor art. Re claim 40, it would have been obvious to one of ordinary skill in the art at the time the invention was made to form the capacitor of Fazan in the opening by planarization after CVD forming the first electrode as taught by Fukuzumi (Fig 4; col 7, lines 40-59) because of the desirability to isolate a plurality of lower electrodes one from each other, and to form stacked container capacitor having high capacitance.

Response to Amendment

*** Applicant's remarks filed March 31, 2003 with respect to the claims have been considered but are moot in view of the new ground(s) of rejection.

Forming the first electrode extends above the uppermost surface of the substrate assembly, and forming the second electrode on the dielectric and on the uppermost surface of the substrate assembly are anticipatively taught by Agarwal.

Additionally, Prall is cited to show the obviousness of forming the first electrode extending above the substrate assembly.

Also, it would have been obvious to one of ordinary skill in the art to form the capacitor of Fukuzumi by employing the teaching of Agarwal because of the desirability to form a trench capacitor having a planar electrode structure and to eliminate the step formed by patterning the second electrode and dielectric.

*** Applicant is advised that by incorporating all limitations of base claim 38, amended claim 51 is duplicated that of claim 52. One of the claims 51 or 52 should be amended or cancelled to avoid the duplication. Similarly, by incorporating all limitations of base claim 38, into claim 44, the incorporated claim is duplicated to that of claim 64.

Applicant remarked that claim 51 recites "forming a layer of hemispherical grain polysilicon on the substrate assembly" while claim 52 just recites "forming a layer of hemispherical grain polysilicon...". In response, this is note and found unconvincing, since claim 52 also has a substrate assembly, wherein the first electrode extends above the substrate assembly, and wherein the polysilicon is formed on the first electrode. See also MPEP § 706.03(k) for duplication.

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*** Any inquiry concerning this communication or earlier communications from the examiner should be directed to Michael M. Trinh whose telephone number is (703) 308-2554. The examiner can normally be reached on M-F: 8:30 Am to 5:00 Pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Amir Zarabian can be reached on (703) 308-4905. The fax phone numbers for the organization where this application or proceeding is assigned are (703) 308-7722 for regular communications and (703) 308-7724 for After Final communications.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703) 308-0956.

Oacs

Michael Trinh
Primary Examiner